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9/24/02
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re:

U.S. Application of:

John NAFEH and Kenton K. YEE

For:

METHODS AND APPARATUS FOR FORMULATION,
INITIAL PUBLIC OR PRIVATE OFFERING, AND
SECONDARY MARKET TRADING OF RISK
MANAGEMENT CONTRACTS

Confirmation No.:

8962

U.S. Serial No.:

09/923,035

Filed:

August 6, 2001

Group Art Unit:

3628

Examiner:

Clement B. Graham

GROUP 3600

AUG 30 2002

RECEIVED

Assistant Commissioner
for Patents
Washington, D.C. 20231

Dear Sir:

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on

August 22, 2002

Date of Deposit

Douglas A. Sorensen

Name of Applicant, Assignee, or Registered Representative

Signature

August 22, 2002

Date of Signature

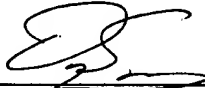
PRELIMINARY AMENDMENT

Preliminary to the examination of the above-identified application, please amend this Application as follows:

Amendments to the specification and claims are presented herein by presenting replacement paragraphs for the specification, along with a complete set of pending claims, as amended, in clean form. Also, an Appendix entitled "Version With Markings to Show

Any other fee required for such Petition for Extension of Time and any other fee required by this document pursuant to 37 C.F.R. §§ 1.16 and 1.17, other than the issue fee, and not submitted herewith should be charged to Sidley Austin Brown & Wood LLP's Deposit Account No. 18-1260. Any refund should be credited to the same account.

Respectfully submitted,

By: 

Douglas A. Sorensen
Registration No. 31,570
Attorney for Applicants

TNT/rb:bar:jkk
SIDLEY AUSTIN BROWN & WOOD LLP
717 N. Harwood, Suite 3400
Dallas, Texas 75201
Direct: (214) 981-3482
Main: (214) 981-3300
Facsimile: (214) 981-3400
August 20, 2002